

DEPARTMENT OF HUMAN SERVICES  
DIVISION OF JUVENILE JUSTICE SERVICES  
POLICY AND PROCEDURES

Policy No.: 05-15

Effective Date: 12/02/03

Revision 5/09/10

Subject: Incident Reports

**I. Policy Statement**

Division staff shall adhere to this Incident Reporting System. This system of notification, documentation, and distribution shall be performed in accordance with this policy. Documentation of incidents shall be completed prior to the end of one's shift when the incident occurred, or within twenty-four (24) hours when approved by a supervisor.

**II. Rationale**

The purpose of this policy is to establish a consistent and comprehensive reporting system that accounts for all incidents occurring within the Division. This will ensure communication during a crisis situation continues to improve, a chain of command is followed and the Division is able to monitor all incidents, thereby enhancing Division efficiency.

**III. Definitions**

- A. "Incidents" are any non-routine, unusual, or potentially threatening event(s).
- B. "Incident Report Reference Guide" provides instruction for how the Division shall document incidents, whom shall be notified of incidents, and how reports shall be disseminated.
- C. "Incident Report" is a report generated by the primary person involved in the incident. There should only be one Incident Report per incident episode.
- D. "Supplemental Report" is a report generated by any other person who witnessed an incident or who received information about an incident. This report should accompany the Incident Report.
- E. "Addendum Report" is a report generated by a person who has already submitted either an Incident or Supplemental Report and has additional information needing to be documented regarding the incident. This report may be done in the Supplemental Report format and the writer should indicate in the *Description of Incident* portion of the report that *this report is an addendum to my original Incident or Supplemental Report*.
- F. "Submitted," indicates that a report is complete and has been signed by its writer. Once a report is signed, its contents shall not be altered, modified, or amended. Once a report has been sent or released by e-mail, fax, courier, or mail, the report shall be considered submitted regardless of whether the report is signed.

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**IV. Procedures**

- A. Division staff shall use the Incident Report Reference Guide when completing an incident report.
- B. All incidents shall be documented in the appropriate report format.
- C. All reports on incidents shall be completed before the end of one's shift when the incident occurred, or within twenty-four (24) hours when approved by a supervisor.
- D. A supervisor or Division case manager may request additional information, in writing, from those involved in an incident when the documentation already submitted is deemed insufficient. Staff shall document the date and time of the request. After receiving this request, the notified party shall submit documentation within twenty-four (24) hours.
- E. Incidents shall be classified according to the level of severity, as identified in the Incident Report Reference Guide. Along with its classification, notification and distribution of reports, staff shall follow the Incident Report Reference Guide. The level system is comprised of four Levels of Severity. Level 1 incidents shall be considered the most severe and Level 4 incidents shall be considered the least severe.
- F. All Level 1 incidents require immediate notification to the person(s) or party(s) outlined in the Chain of Command section of the Incident Report Reference Guide. Notification shall be done by phone and contact shall be made with a live person. A voicemail message is not sufficient as notification for a Level 1 incident, although a message should be left indicating that notification was attempted. The person attempting to make contact with a live person shall start with their immediate supervisor and then proceed upward from there. Once a live person has been contacted, it is the responsibility of that contacted person to notify the next person or party in the Chain of Command.

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- G. All other incidents shall be reported within twenty-four (24) hours of occurrence.
- H. Notification of incidents and distribution of reports shall begin with the staff's immediate supervisor and then proceed as indicated by the following Chain of Command.

**Level 1 – Maximum Severity**

- 1. Division Director/Deputy Director
- 2. Office of Internal Investigations \*required by private provider
- 3. Program Director (PD)
- 4. Assistant Program Director (APD)
- 5. Supervisor
- 6. Case manager \*required by private provider
- 7. Any other appropriate entity

**Level 2 – Intermediate Severity**

- 1. Office of Internal Investigations \*required by private provider
- 2. Program Director (may determine to refer to Office of Internal Investigations) (PD)
- 3. Assistant Program Director (APD)
- 4. Supervisor
- 5. Case manager \*required by private provider
- 6. Any other appropriate entity

**Level 3 – Minimum Severity**

- 1. Assistant Program Director (APD) (may determine to refer to PD or Office of Internal Investigations)
- 2. Supervisor
- 3. Case manager \*required by private provider
- 4. Any other appropriate entity

**Level 4 – Information Only**

- 1. Assistant Program Director (APD) (may determine to refer to PD or Office of Internal Investigations)
- 2. Supervisor
- 3. Case manager \*required by private provider
- 4. Any other appropriate entity

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- I. The principal Division administrator shall deal with notification that an incident occurred and the distribution of any reports generated by the Division to agencies or entities other than the Division, where the incident occurred. Copy(s) of Incident/Supplemental Report(s) may be forwarded to agencies or entities other than the Division only after the principal Division administrator has deemed it necessary for release. The principal Division administrator may notify other agencies or entities of incidents that occur when the incident pertains to the function of the other agency or entity.
- J. Incident/Supplemental Report(s) are classified as “private” under the Governmental Records Access Management Act (GRAMA, UCA 62-3-204). Incident/Supplemental Report(s) that are collected during the course of an internal investigation are considered “protected” under GRAMA.
- K. When an Incident/Supplemental Report(s) is deemed necessary for release to law enforcement, or to a District or County Attorney, pursuant to any criminal investigation, a Division investigator shall be contacted prior to its release.

**V. Continuous Renewal**

This policy shall be reviewed every three (3) years to determine its effectiveness and appropriateness. This policy may be reviewed before that time to reflect substantive change.

This policy has been reviewed by the Board of Juvenile Justice Services on this date, and is approved upon the signature of the Director.



Kirk Allen, Chair  
Board of Juvenile Justice Services

5/09/10

Signature Date



Dan Maldonado, Director  
Division of Juvenile Justice Services

05/09/10

Signature Date